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## FAX COVER LETTER

December 13, 2005

TO:

Mail Stop Amendment - Commissioner for Patents

COMPANY:

U.S. Patent and Trademark Office

FAX:

571.273.8300

FROM:

Dena VanDeVoort Ehrich

DIRECT DIAL:

612.607.7345

EMAIL

RE:

DVanDeVoort@Oppenheimer.com

U.S. Patent Application No. 09/929,735

Filed: August 13, 2001

Art Unit: 3625

Examiner: Y.C. Garg

Attorney Docket No.: 060021-375702

## CERTIFICATE OF TRANSMISSION

I hereby certify under 37 CFR 1.8 that this correspondence is being facsimile transmitted to Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, facsimile number 571/273-8300 on December 13, 2005.

K. J. Rostberg

Date

- 1. Transmittal Form SB21
- 2. Information Disclosure Statement
- 3. Form 1449A/PTO

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(to be used for all correspondence after inklal filing)		Art Unit	36	25 CENTRAL PAX CENTER	
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Total Number of	Pages in This Submission	5	Attorney Docket Number	06	0021-375702
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Aff	fidavits/declaration(s)		Power of Attorney, Revocation Change of Correspondence Add	iress	Status Letter
Extension	n of Time Request		Terminal Disclaimer		Other Enclosure(s) (please identify below):
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rinted name	Dena VanDeVoort Ehrich	1			
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This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiatily is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and autoriting the completed application form to the USPTO. Time will vary depending upon the individual case, and your ments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Petent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450, DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Serial No 09/929,735 Page 1 of 3 MECEIVED
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PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:

Ronald E. Sloan

Serial No:

09/929,735

Filed:

08-13-2001

Title:

Communication interface for a finan-

cial modeling and counseling system

Docket No: 06

060021-375702

Certificate of Mailing/Transmittal

I hereby certify that this correspondence is being facsimile transmitted to the USPTO (Fax. No. 571/273-8300) or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450 Alexandria VA 22313-1450 or the Attachment have been presented.

1450, Alexandria, VA 22313-1450 on the date shown below.

Kimberly Rostberg

Date

Group Art Unit: 3625

Examiner: Garg, Yogesh C.

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

## SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. § 1.56, § 1.97 and § 1.98, Applicant brings the references listed on the attached Form PTO-1449 to the examiner's attention. 37 C.F.R. § 1.56. These references may be material to examination of the above-identified application. Please do not construe the filing of this information disclosure statement as a representation that applicant has made a search (37 C.F.R. § 1.97(g)), or as an admission that the information cited is, or is considered to be, material to patentability or that no other material information exists.

This Information Disclosure Statement is being submitted:

1. Within three months of the filing date of a national application other than a continued prosecution application under 37 CFR 1.53(d), or within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application, or before the mailing date of a first Office action on the merits, or before the mailing of a first Office action after the filing of a request for continued examination under 37 CFR 1.114, and therefore, Applicant believes no fee is

cord herein.

Serial No 09/929,735 Page 2 of 3

2. After the period specified in paragraph (1) hereinabove of this section, but is being filed before the mailing date of either a final action under 37 CFR 1.113, or a notice of allowance under 37 CFR 1.311, or an action that otherwise closes prosecution in the application, and is accompanied by one of the following:
(a) A statement that either:
(i) Each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement;
OR
(ii) No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement;
OR
(b) The fee of \$180 for filing of an Information Disclosure Statement as set forth in 37 C.F.R. 1.17(p).
3. After the period specified in paragraph (2) of this section, but is filed on or before payment of the issue fee and is accompanied by both:
(a) A statement that either:
(i) Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement;
OR .
(ii) No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in disclosure statement;
AND
(b) The fee of \$180.00 for filing of an Information Disclosure Statement as set forth in 37 CFR 1.17(p).
Applicant would appreciate the Examiner initialing and signing a copy of Form PTO-
1449, transmitted herewith indicating that the control of the cont
1449, transmitted herewith, indicating that the information has been considered and made of re-

-2-

Serial No 09/929,735 Page 3 of 3

In the unlikely event that the transmittal letter is separated from this document and the Patent Office determines that an extension and/or other relief is required, Applicant petitions for any required relief including extensions of time and authorizes the Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to Deposit Account No. 50-1901 referencing order number 060021-375702.

Respectfully submitted,

By D-Rabt Florch

Customer No. 29,838

Dena VanDeVoort Ehrich, Reg. No. 57, 508

December 13, 2005

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Substitute for form 1449A/PTO				Complete if Known		
}	INFORM	ation D	ISCLOSURE	Application Number	09/929,735	
STATEMENT BY APPLICANT			APPLICANT	Filing or 371(c) Date	08-13-2001	
]	STATEMENT BY APPLICANT  (use as many sheets as necessary)	First Named Inventor	Ronald Sloan			
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L				Examiner Name	Yogesh Garg	V-2-1
Sheet	1	of	1	Attorney Docket Number	60021-375702	

	U.S. PATENT DOCUMENTS				
	1	Document Number			
Examiner Initials*	Cite No. 1	Number -Kind Code <sup>2</sup> (if known)	Issue Date MM-DD-YYYY	Name of Patentee or Applicant of Clied Document	
		US-4,953,085	08-28-1990	Atkins, Charles A.	
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FOREIGN PATENT DOCUMENTS					
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	,	NON PATENT LITERATURE DOCUMENTS	
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Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04,

Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. Applicant is to place a check mark here if English language Translation is attached.

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